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RTP APPENDIX E

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MPO Conformity Checklist (Page 1)

Rural Area Conformity Checklist (Page 6)

X. APPENDIX E - AIR QUALITY CONFORMITY CHECKLIST (MPO)

TRANSPORTATION CONFORMITY DOCUMENTATION CHECKLIST FOR METROPOLITAN TRANSPORTATION PLANS AND TRANSPORTATION IMPROVEMENT PROGRAMS

TRANSPORTATION PLAN AND TIP STATUS

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| _____ | a. Document the date that the MPO officially adopted, accepted or approved the Plan and/or TIP and made a conformity determination. Include a copy of the MPO resolution. (40 CFR 93.104) |
| _____ | b. Document that the Plan and/or TIP is financially constrained consistent with 23 CFR 450. (40 CFR 93.108) |
| _____ | c. Document that the Plan and/or TIP complies with any applicable conformity requirements of air quality implementation plans and court orders. (40 CFR 93.109(a)) |
| _____ | d. For TIPs, as appropriate, document that the conformity determination relies on a previous regional emissions analysis and is consistent with that analysis. (40 CFR 93.122(e)) |
| _____ | e. Identify the date of the last conformity finding for the Plan and/or TIP by FHWA/FTA. |

NONATTAINMENT OR MAINTENANCE AREA DESIGNATION

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| _____ | a. Document the applicable pollutants and precursors for which the area is classified as nonattainment or maintenance by EPA. |
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SIP, MAINTENANCE PLAN OR FIP STATUS

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| _____ | a. Document, if applicable, the status of any control strategy implementation plan submittal, and corresponding submittal date, and any EPA findings related to the submittal including: budget adequacy; completeness; approval; or disapproval. |
| _____ | b. Document, if applicable, whether an EPA promulgated FIP includes a mobile source emissions budget for each applicable precursor or pollutant. |
| _____ | c. Document whether EPA has approved a NO _x waiver for the ozone nonattainment area. |
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| _____ | d. In PM 10 nonattainment or maintenance areas, document if any SIP or submittal has identified VOC, NO _x , or PM ₁₀ budgets or whether EPA or the state has found that transportation-related emissions of those pollutants contribute significantly to the problem. |
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4. GENERAL TRANSPORTATION CONFORMITY CRITERIA AND PROCEDURES

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| _____ | a. Document that the Plan meets the requirements of 40 CFR 93.106 (a), (b) or (c) as appropriate for Plan content and horizon years ¹ including: |
| _____ | - descriptions of the demographic and employment factors influencing expected transportation demand; |
| _____ | - descriptions of the transportation system sufficient to perform a conformity determination per the requirements of 40 CFR 93.109-93.119; and |
| _____ | - descriptions of other transportation policies, requirements, services and activities including intermodal activities. |
| _____ | b. Document the use of the latest planning assumptions, the source and the year of the assumptions (40 CFR 93.110) including: |
| _____ | - current and future population, employment, travel, and congestion; |
| _____ | - changes in transit operating policies (including fares and service levels) and assumed transit ridership; |
| _____ | - assumptions for transit fares and road and bridge tolls; and |
| _____ | - latest information on the effectiveness of TCMs and other implementation plan measures which have already been implemented. |
| _____ | c. Document the use of the latest emissions model approved by EPA, the date the conformity analysis was started, and any other air quality models used. (40 CFR 93.111) |
| _____ | d. Until the conformity SIP is fully approved, document the fulfillment of the consultation procedures specified in 40 CFR 93.105(a)(2), 93.105(c) and 93.105(e) and public involvement procedures consistent with 23 CFR 450. |
| _____ | e. Document fulfillment of the interagency and public consultation requirements of any approved conformity SIP. (40 CFR 93.112) |

¹40 CFR 93.106(a) applies to transportation plans in serious, severe, or extreme ozone nonattainment areas and serious CO nonattainment areas with urbanized area populations greater than 200,000. All other areas must meet the requirements of 40 CFR 93.106(a) only to the extent that it was the previous practice of the MPO to prepare plans that meet those requirements.

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| _____ | f. Document all the TCMs in EPA approved SIPs or promulgated FIPs and document their schedules as determined through interagency consultation. Document whether implementation is consistent with the schedules in the applicable implementation plan and document whether anything interferes with timely implementation. (40 CFR 93.113) |
| _____ | g. Document any delayed TCMs in the applicable implementation plans and describe the measures being taken (commitments, approvals, resources, staffing, etc.) to overcome obstacles to implementation and that priority is being given to their implementation by agencies with approval authority. (40 CFR 93.113) |

EMISSIONS REDUCTION TESTS AND THE BUDGET TEST

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| _____ | a. Provide a table that shows, for each pollutant and precursor, whether the emissions reduction tests and/or the budget test apply for conformity. Indicate which emissions budgets have been determined adequate by EPA, and which budgets are currently applicable and for what analysis years. (40 CFR 93.109) |
| _____ | b. If the emissions budget test applies, provide, in tabular format, the results of the conformity analysis according to 40 CFR 93.118. |
| _____ | c. If the emissions reduction tests apply, provide, in tabular format, the result of the conformity analysis according to 40 CFR 93.119. |

PROJECTS IN THE TRANSPORTATION PLAN AND PROGRAM

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| _____ | a. Document all federal projects and all regionally significant non-federal projects are included in the regional emissions analysis. For each project identify project type (non-exempt, exempt, SIP TCM), open to traffic date, and action baseline scenario as appropriate. (40 CFR 93.122(a)) |
| _____ | b. Document all projects in the Plan and/or TIP that require mitigation to determine conformity. (40 CFR 93.125) |
| _____ | c. Document all projects in the Plan and/or TIP that are exempt from regional analysis unless found to have potential adverse impacts. (40 CFR 93.126) |
| _____ | d. Document all traffic signal synchronization projects that have been approved or implemented or plans for which are known, and document they have been included in the conformity analysis. (40 CFR 93.128) |

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7. MODELING REQUIREMENTS

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| _____ | a. Document that the regional transportation-related emissions analysis was completed in accordance with the provisions of 40 CFR 93.122(a), (b) ² and (c) as appropriate including: |
| _____ | document all projects, programs, or activities for which emissions credit is claimed in the conformity analysis and require a regulation in order to be implemented (indicate the date that the regulation was adopted) or the date of an opt-in to a federally enforced program approved by EPA. Discuss the implementation status of these programs and the associated emissions credit for each analysis year. (40 CFR 93.122(a)); |
| _____ | - document that a network-based travel model is in use that is validated against observed counts (peak and off-peak, if possible) for a base year that is no more than 10 years earlier than the date of the conformity determination; |
| _____ | - document that the model results have been analyzed for reasonableness and compared to historical trends and other factors and explain any significant differences between past trends and forecasts (for per capita vehicle-trips, VMT, trip lengths mode shares, time of day, etc.); |
| _____ | - document the land use, population, employment, and other network-based travel model assumptions; |
| _____ | - document that the scenarios of land use development are consistent with the future transportation system alternatives, and the distribution of employment and residences for the different transportation options are reasonable; |
| _____ | - document that a capacity-sensitive assignment methodology was used and that the emissions estimates are based on a methodology which differentiates between peak and off-peak link volumes and speeds, and uses speeds based on final assigned volumes; |
| _____ | - document that zone-to-zone travel impedances used to distribute trips are in reasonable agreement with the travel times estimated from final assigned traffic volumes; |
| _____ | - where transit is a significant factor, document that zone-to-zone travel impedances used to distribute trips are also used for modeling mode split; |
| _____ | - document that travel models are reasonably sensitive to changes in time, cost, and other factors affecting travel choices; |

²40 CFR 93.122(b) applies to regional emissions analyses in serious, severe, or extreme ozone nonattainment areas and serious CO nonattainment areas with urbanized area populations greater than 200,000. All other areas must meet the requirements of 40 CFR 93.122(b) only to the extent that it was the previous practice of the MPO to prepare plans that meet those requirements.

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| _____ | - document that reasonable methods were used to estimate traffic speeds and delays in a manner that is sensitive to the estimated volume of travel on each roadway segment represented in the travel model; |
| _____ | - document the use of HPMS, or a locally developed count-based program or procedures that have been chosen through the consultation process, to reconcile and calibrate the network-based travel model estimates of VMT; and |
| _____ | - document, if applicable, that the area is not subject to 40 CFR 93.1229(b) and identify the methods used to estimate regional emissions. (40 CFR 93.122(c)) |
| _____ | b. In areas where a PM10 SIP or submittal identified construction-related PM10 as a contributor to the air quality problem, document inclusion of PM10 construction emissions in the conformity emissions analysis. (40 CFR 93.122(d)) |

8. SPECIFIC CONSULTATION

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| _____ | a. Document that the models and assumptions have been chosen through interagency consultation. (40 CFR 93.1059(c)(1)(i)) |
| _____ | b. Document the consultation on conformity tests and methodologies. (40 CFR 93.105(c), 93.109(G)(2)(iii)) |
| _____ | c. Document consultation with the EPA regional office, and include responses to any significant concerns from EPA. |
| _____ | d. Document consultation with the transportation and air agencies and responses to any significant concerns. |
| _____ | e. Document that the public involvement procedures developed by the MPO as required under 23 CFR 450 were fully carried out and document responses to any concerns from the public. |

Disclaimers:

- 1) This checklist is intended solely as an informational guideline to be used in reviewing Transportation Plans and TIPs for adequacy of their documentation. It is in no way is intended to replace or supercedes the Transportation Conformity Regulations 40 CFR Parts 51 and 93, Statewide and Metropolitan Planning Regulations 23 CFR Part 450, or any EPA FHWA, and FTA guidance pertaining to transportation conformity or statewide and metropolitan planning.
- 2) This checklist is for intended for use in documenting transportation conformity for Transportation Plans and Transportation Improvement Programs only, 40 CFR Parts 51 and 93 contains additional criteria for conformity determinations of individual transportation projects in nonattainment areas.

updated 11/12/99

X. APPENDIX E - AIR QUALITY CONFORMITY CHECKLIST (RURAL)

TRANSPORTATION CONFORMITY DOCUMENTATION CHECKLIST FOR TRANSPORTATION PROJECTS IN ISOLATED RURAL NONATTAINMENT AND MAINTENANCE AREAS³

1. TRANSPORTATION PLAN AND FSTIP STATUS

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| _____ | a. Document the date the State adopted the State Transportation Plan and the date FHWA and FTA approved the Federal Statewide Transportation Improvement Program (FSTIP). Indicate if the State Transportation Plan is a policy document or project specific. (40 CFR 93.104) |
| _____ | b. Document that FSTIP is financially constrained consistent with 23 CFR 450. (40 CFR 93.108) |
| _____ | c. Where applicable, document that the State Transportation Plan and/or FSTIP complies with any applicable conformity requirements of air quality implementation plans and court orders. (40 CFR 93.109(a)) |
| _____ | d. Identify the date of the last conformity finding for the project by FHWA/FTA. |

2. NONATTAINMENT OR MAINTENANCE AREA DESIGNATION

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| _____ | a. Document the applicable pollutants and precursors for which the area is classified as nonattainment or maintenance by EPA. |
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3. SIP, MAINTENANCE PLAN OR FIP STATUS

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| _____ | a. Document, if applicable, the status of any control strategy implementation plan submittal, and corresponding submittal date, and any EPA findings related to the submittal including: budget adequacy; completeness; approval; or disapproval. |
| _____ | b. Document, if applicable, whether an EPA promulgated FIP includes a mobile source emissions budget for each applicable precursor or pollutant. |

³ Isolated rural nonattainment and maintenance areas are defined in the Transportation Conformity Rule 40 CFR 93.109(g) as “nonattainment and maintenance area (or portion thereof) which does not have a metropolitan transportation Plan or TIP and whose projects are not part of the emissions analysis of any metropolitan MPO’s metropolitan transportation Plan or TIP.”

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| _____ | c. Document whether EPA has approved a NO _x waiver for the ozone nonattainment area. |
| _____ | d. In PM 10 nonattainment or maintenance areas, document if any SIP or submittal has identified VOC, NO _x , or PM ₁₀ budgets or whether EPA or the state has found that transportation-related emissions of those pollutants contribute significantly to the problem. (40 CFR 93.119(d)) |

4. GENERAL TRANSPORTATION CONFORMITY CRITERIA AND PROCEDURES

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| _____ | a. Document that the Plan meets the requirements of 40 CFR 93.106 (a), (b) or (c) as appropriate for Plan content and horizon years ⁴ including: |
| _____ | - descriptions of the demographic and employment factors influencing expected transportation demand; |
| _____ | - descriptions of the transportation system sufficient to perform a conformity determination per the requirements of 40 CFR 93.109-93.119; and |
| _____ | - descriptions of other transportation policies, requirements, services and activities including intermodal activities. |
| _____ | b. Document the use of the latest planning assumptions, the source, and the year of the assumptions (40 CFR 93.110) including: |
| _____ | - current and future population, employment, travel, and congestion |
| _____ | - changes in transit operating policies (including fares and service levels) and assumed transit ridership |
| _____ | - assumptions for transit fares and road and bridge tolls |
| _____ | - latest information on the effectiveness of TCMs and other implementation plan control measures which have already been implemented |
| _____ | c. Document the use of the latest emissions model approved by EPA, the date the conformity analysis was started, and any other air quality models used. (40 CFR 93.111) |
| _____ | d. Until the conformity SIP is fully approved, document the fulfillment of the consultation procedures specified in 40 CFR 93.105(a)(2), 93.105(c) and 93.105(e) and public involvement procedures consistent with 23 CFR 450. |
| _____ | e. Document fulfillment of the interagency and public consultation requirements of any approved conformity SIP. (40 CFR 93.112) |

⁴40 CFR 93.106(a) applies to transportation plans in serious, severe, or extreme ozone nonattainment areas and serious CO nonattainment areas with urbanized area populations greater than 200,000. All other areas must meet the requirements of 40 CFR 93.106(a) only to the extent that it was the previous practice of the MPO to prepare plans that meet those requirements.

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| _____ | f. Document all the TCMs in EPA approved SIPs or promulgated FIPs and document their schedules as determined through interagency consultation. Document whether implementation is consistent with the schedules in the applicable implementation plan and document whether anything interferes with timely implementation. (40 CFR 93.113) |
| _____ | g. Document any delayed TCMs in the applicable implementation plans and describe the measures being taken (commitments, approvals, resources, staffing, etc.) to overcome obstacles to implementation and that priority is being given to their implementation by agencies with approval authority. (40 CFR 93.113) |
| _____ | h. For projects that do not come from a conforming Plan and FSTIP, document that the project does not interfere with the implementation of any TCM in the applicable implementation plan. (40 CFR 93.113(d)) |

5. EMISSIONS REDUCTION TESTS AND THE BUDGET TEST

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| _____ | a. Provide a table that shows, for each pollutant and precursor, whether the emissions reduction tests and/or the budget test apply for conformity. Indicate which emissions budgets have been determined adequate by EPA, and which budgets are currently applicable and for what analysis years. (40 CFR 93.109) |
| _____ | b. If the emissions budget test applies, provide, in tabular format, the results of the conformity analysis according to 40 CFR 93.118. |
| _____ | c. If the emissions reduction tests apply, provide, in tabular format, the result of the conformity analysis according to 40 CFR 93.119. |

6. PROJECTS IN THE TRANSPORTATION PLAN AND FSTIP

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| _____ | a. Document all federal projects and all regionally significant non-federal projects are included in the regional emissions analysis. For each project identify project type (non-exempt, exempt, SIP TCM), open to traffic date, and action baseline scenario as appropriate. |
| _____ | b. Document all projects in the Plan and/or FSTIP that require mitigation to determine conformity. (40 CFR 93.125) |
| _____ | c. Document all projects in the Plan and/or FSTIP that are exempt from regional analysis unless found to have potential adverse impacts. (40 CFR 93.126) |
| _____ | d. Document all traffic signal synchronization projects that have been approved or implemented or plans for which are known, and document they have been included in the conformity analysis. (40 CFR 93.128) |

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| _____ | e. Document meeting all the provisions of CO and PM10 hotspot modeling, analysis and criteria in CO and PM10 nonattainment and maintenance areas. (40 CFR 93.116, 93.123) |
| _____ | f. Document inclusion of any SIP PM10 control measures. (40 CFR 93.117) |

7. MODELING REQUIREMENTS

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| _____ | a. Document that the regional transportation-related emissions analysis was completed in accordance with the provisions of 40 CFR 93.122(a), (b) ⁵ and (c) as appropriate including: |
| _____ | - Document all projects, programs, or activities for which emissions credit is claimed in the conformity analysis and require a regulation in order to be implemented (indicate the date that the regulation was adopted) or the date of an opt-in to a federally enforced program approved by EPA. Discuss the implementation status of these programs and the associated emissions credit for each analysis year. (40 CFR 93.122(a)); |
| _____ | - document that a network-based travel model is in use that is validated against observed counts (peak and off-peak, if possible) for a base year that is no more than 10 years earlier than the date of the conformity determination; |
| _____ | - document that the model results have been analyzed for reasonableness and compared to historical trends and other factors and explain any significant differences between past trends and forecasts (for per capita vehicle-trips, VMT, trip lengths mode shares, time of day, etc.); |
| _____ | - document the land use, population, employment, and other network-based travel model assumptions; |
| _____ | - document that the scenarios of land use development are consistent with the future transportation system alternatives, and the distribution of employment and residences for the different transportation options are reasonable; |
| _____ | - document that a capacity-sensitive assignment methodology was used and that the emissions estimates are based on a methodology which differentiates between peak and off-peak link volumes and speeds, and uses speeds based on final assigned volumes; |

⁵40 CFR 93.122(b) applies to regional emissions analyses in serious, severe, or extreme ozone nonattainment areas and serious CO nonattainment areas with urbanized area populations greater than 200,000. All other areas must meet the requirements of 40 CFR 93.122(b) only to the extent that it was the previous practice of the MPO to prepare plans that meet those requirements.

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| _____ | - document that zone-to-zone travel impedances used to distribute trips are in reasonable agreement with the travel times estimated from final assigned traffic volumes; |
| _____ | - where transit is a significant factor, document that zone-to-zone travel impedances used to distribute trips are also used for modeling mode split; |
| _____ | - document that travel models are reasonably sensitive to changes in time, cost, and other factors affecting travel choices; |
| _____ | - document that reasonable methods were used to estimate traffic speeds and delays in a manner that is sensitive to the estimated volume of travel on each roadway segment represented in the travel model; |
| _____ | - document the use of HPMS, or a locally developed count-based program or procedures that have been chosen through the consultation process, to reconcile and calibrate the network-based travel model estimates of VMT; and |
| _____ | - If the area is not subject to 40 CFR 93.122(b), indicate how regional emissions were estimated. (40 CFR 93.122(c)) |
| _____ | b. In areas where a PM10 SIP or submittal identified construction-related PM10 as a contributor to the air quality problem, document inclusion of PM10 construction emissions in the conformity emissions analysis. (40 CFR 93.122(d)) |

8. SPECIFIC CONSULTATION

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| _____ | a. Document that the models and assumptions have been chosen through interagency consultation. (40 CFR 93.1059(c)(1)(i)) |
| _____ | b. Document the consultation on conformity tests and methodologies. (40 CFR 93.105(c)(1)(vii), 93.109(g)(2)) |
| _____ | c. Document consultation with the EPA regional office, and include responses to any significant concerns from EPA. |
| _____ | d. Document consultation with the transportation and air agencies and responses to any significant concerns. |
| _____ | e. Document that the public involvement procedures developed by the MPO as required under 23 CFR 450 were fully carried out and document responses to any concerns from the public. |

Disclaimer: This checklist is intended solely as an informational guideline to be used in reviewing transportation conformity determinations for rural nonattainment areas. It is in no way intended to replace or supercede the Transportation Conformity Regulations 40 CFR Parts 51 and 93, Statewide and Metropolitan Planning Regulations 23 CFR Part 450, or any EPA FHWA, and FTA guidance pertaining to transportation conformity or statewide and metropolitan planning.

updated 11/12/99